

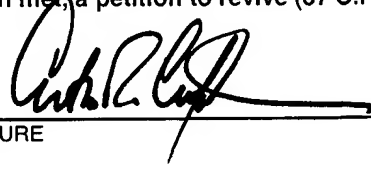
|  |   |  |
|--|---|--|
| FORM PTC-1390<br>(REV 11-2000)   | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | ATTORNEY'S DOCKET NUMBER<br><b>124-929</b>   |
| TRANSMITTAL LETTER TO THE UNITED STATES<br>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br>CONCERNING A FILING UNDER 35 U.S.C. 371 |   | U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)<br><b>10/070382</b><br><small>unknown</small> |
| INTERNATIONAL APPLICATION NO.<br><b>PCT/GB00/03405</b>   | INTERNATIONAL FILING DATE<br><b>05/09/2000</b>          | PRIORITY DATE CLAIMED<br><b>07/09/1999</b>   |
| TITLE OF INVENTION<br><b>COLLOIDAL PHOTONIC CRYSTALS</b>   |   |  |
| APPLICANT(S) FOR DO/EO/US<br><b>AMOS, R. et al.</b>  |   |  |

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
- ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
- ☐ The U.S. has been elected by the expiration of 19 months from the priority date (Article 31).
- A copy of the International Application as filed (35 U.S.C. 371(c)(2)).
  - ☐ is attached hereto (required only if not communicated by the International Bureau).
  - ☒ has been communicated by the International Bureau.
  - ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
- ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - ☐ is attached hereto.
  - ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
- ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
  - ☐ are attached hereto (required only if not communicated by the International Bureau).
  - ☐ have been communicated by the International Bureau.
  - ☐ have not been made; however, the time limit for making such amendments has **NOT** expired.
  - ☐ have not been made and will not be made.
- ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
- ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
- ☐ A English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11 To 20 below concern document(s) or information included:**

- ☐ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.
- ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
- ☒ A **FIRST** preliminary amendment.
- ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
- ☐ A substitute specification.
- ☐ A change of power of attorney and/or address letter.
- ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825.
- ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
- ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
- ☒ Other items or information. PTO Form 1449

|   |              |  |      |   |          |    |        |  |    |        |  |
|---|--------------|--|------|---|----------|----|--------|--|----|--------|--|
| U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)<br><b>Unknown 70/070382</b>  |              | INTERNATIONAL APPLICATION NO.<br><b>PCT/GB00/03405</b> |      | ATTORNEY'S DOCKET NUMBER<br><b>124-929</b>  |          |    |        |  |    |        |  |
| 21. <input checked="" type="checkbox"/> The following fees are submitted:   |              |  |      | <b>CALCULATIONS</b> PTO USE ONLY  |          |    |        |  |    |        |  |
| <b>BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):</b><br>-- Neither international preliminary examination fee (37 C.F.R. 1.482) nor international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO .....\$1040.00<br>-- International preliminary examination fee (37 C.F.R. 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.....\$890.00<br>-- International preliminary examination fee (37 C.F.R. 1.482) not paid to USPTO but international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO .....\$740.00<br>-- International preliminary examination fee (37 C.F.R. 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4).....\$710.00<br>-- International preliminary examination fee (37 C.F.R. 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4).....\$100.00<br><br><div style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div>  |              |  |      | <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:10%;">\$</td> <td style="width:40%;">890.00</td> <td style="width:50%;"></td> </tr> <tr> <td>\$</td> <td>130.00</td> <td></td> </tr> </table> |          | \$ | 890.00 |  | \$ | 130.00 |  |
| \$  | 890.00       |  |      |   |          |    |        |  |    |        |  |
| \$  | 130.00       |  |      |   |          |    |        |  |    |        |  |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e)).   |              |  |      |   |          |    |        |  |    |        |  |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA   | RATE |   |          |    |        |  |    |        |  |
| Total Claims  | 34           | -20 =  | 14   | X   | \$18.00  |    |        |  |    |        |  |
| Independent Claims  | 2            | -3 =   | 0    | X   | \$84.00  |    |        |  |    |        |  |
| MULTIPLE DEPENDENT CLAIMS(S) (if applicable)  |              |  |      |   | \$280.00 |    |        |  |    |        |  |
| <b>CLAIM FEES ARE NOT BEING PAID AT THIS TIME</b>   |              |  |      | <b>TOTAL OF ABOVE CALCULATIONS =</b>  |          |    |        |  |    |        |  |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.  |              |  |      | \$ 0.00   |          |    |        |  |    |        |  |
| <b>SUBTOTAL =</b>   |              |  |      | \$ 1272.00  |          |    |        |  |    |        |  |
| Processing fee of \$130.00, for furnishing the English Translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(f)).  |              |  |      | \$ 0.00   |          |    |        |  |    |        |  |
| <b>TOTAL NATIONAL FEE =</b>   |              |  |      | \$ 1272.00  |          |    |        |  |    |        |  |
| Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). <b>\$40.00</b> per property   |              |  |      | \$ 0.00   |          |    |        |  |    |        |  |
| Fee for Petition to Revive Unintentionally Abandoned Application (\$1280.00 - Small Entity = \$640.00)  |              |  |      | \$ 0.00   |          |    |        |  |    |        |  |
| <b>TOTAL FEES ENCLOSED =</b>  |              |  |      | \$ 1272.00  |          |    |        |  |    |        |  |
|   |              |  |      | Amount to be: refunded \$   |          |    |        |  |    |        |  |
|   |              |  |      | Charged \$  |          |    |        |  |    |        |  |
| <p>a. <input checked="" type="checkbox"/> A check in the amount of \$1272.00 to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. 14-1140 in the amount of \$_____ to cover the above fees. A duplicate copy of this form is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 14-1140. A duplicate copy of this form is enclosed.</p> <p>d. <input checked="" type="checkbox"/> The entire content of the foreign application(s), referred to in this application is/are hereby incorporated by reference in this application.</p> <p><b>NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b></p> <p><b>SEND ALL CORRESPONDENCE TO:</b></p> <p>NIXON &amp; VANDERHYE P.C.<br/> 1100 North Glebe Road, 8<sup>th</sup> Floor<br/> Arlington, Virginia 22201-4714<br/> Telephone: (703) 816-4000</p> |              |  |      |   |          |    |        |  |    |        |  |
|   |              |  |      | <br>SIGNATURE  |          |    |        |  |    |        |  |
|   |              |  |      | <b>Arthur R. Crawford</b><br>NAME   |          |    |        |  |    |        |  |
|   |              |  |      | <b>25,327</b><br>REGISTRATION NUMBER  |          |    |        |  |    |        |  |
|   |              |  |      | <b>March 6, 2002</b><br>Date  |          |    |        |  |    |        |  |

Please type a plus sign (+) inside this box



PTO/SB/121 (10-00)

Approved for use through 10/31/2002. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# CORRESPONDENCE ADDRESS INDICATION FORM

**Address to:**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Direct all correspondence to:

**Customer Number:****23117**

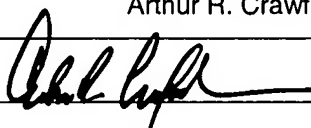
Place Customer  
Number Bar  
Label Here →

**OR***Type Customer Number here*

Request for Customer Number (PTO/SB/125) submitted herewith.

**in the following listed application(s) or patent(s):**

| Patent Number<br>(if appropriate) | Application Number | Patent Date<br>(if appropriate) | U.S. Filing<br>Date |
|-----------------------------------|--------------------|---------------------------------|---------------------|
|                                   | 10/070,382         |                                 | May 7, 2002         |
|                                   |                    |                                 |                     |
|                                   |                    |                                 |                     |
|                                   |                    |                                 |                     |
|                                   |                    |                                 |                     |
|                                   |                    |                                 |                     |
|                                   |                    |                                 |                     |
|                                   |                    |                                 |                     |
|                                   |                    |                                 |                     |

|                          |   |   |
|--------------------------|---|---|
| Typed or<br>Printed Name | Arthur R. Crawford  | <b>(check one)</b><br><br><input type="checkbox"/> Applicant or Patentee<br><br><input type="checkbox"/> Assignee of record of the entire interest. Statement under 37 C.F.R. § 3.73(b) is enclosed. (Form PTO/SB/96)<br><br><input checked="" type="checkbox"/> Attorney or Agent of record<br><br><div style="text-align: right;">25,327<br/>(Reg. No.)</div> |
| Signature                |  |   |
| Date                     | August 20, 2003   |   |
| Address of signer:       | 1100 North Glebe Road, 8 <sup>th</sup> Floor<br>Arlington, VA 22202                 |   |

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.\*

☒ \*Total of 1 forms are submitted.

**Burden Hour Statement:** This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS: SEND TO: Assistant Commissioner of Patents, Box CN, Washington, DC 20231.